



FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE PATENT & TRADEMARK OFFICE

SHEET 1 OF 1
(REV. 7-80)**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

DOCKET NO.: 3109/1G960
APPLICANT: Roger ALCALYSERIAL NO: 09/852,222
FILING DATE: May 9, 2001
CONFIRMATION NO:RECEIVED
SEP 06 2001
Technology Center 2100**U.S. PATENT DOCUMENTS**

| <u>*EXAMINER INITIALS</u> | <u>DOCUMENT NUMBER</u> | <u>DATE</u> | <u>NAME</u> | <u>CLASS</u> | <u>SUBCLASS</u> | <u>FILING DATE</u> |
|-------------------------------|----------------------------|-------------|-----------------|--------------|-----------------|--------------------|
| | 1. 5,126,936 | 06/30/92 | Champion et al. | 364 | 408 | 09/01/89 |
| | 2. 5,784,696 | 07/21/98 | Melnikoff | 705 | 36 | 06/06/95 |

FOREIGN PATENT DOCUMENTS

| <u>*EXAMINER INITIALS</u> | <u>DOCUMENT NUMBER</u> | <u>DATE</u> | <u>COUNTRY</u> | <u>CLASS</u> | <u>SUBCLASS</u> | <u>TRANSLATION YES NO</u> |
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|-------------------------------|----------------------------|-------------|----------------|--------------|-----------------|-------------------------------|

OTHER REFERENCES**(INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)***EXAMINER
INITIALS3. Sharpe, W.F. "Asset Allocation: Management Style and Performance Measurement"; Journal of Portfolio Management, vol. 18, no. 2, Winter 1992, pp 7-134. Gibson, R.C., "The Rewards of Multiple-Asset-Class Investing"; Journal of Financial Planning, Vol. 12, no. 3, March 1999, Conclusion

EXAMINER:

DATE CONSIDERED: 08/20/01*EXAMINER:

Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.